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PATENT  
ATTORNEY DOCKET NO. 11112/002001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Steven P. Nolan and Jinkun Huang      Art Unit:  
Serial No.: 09/392,869      Examiner:  
Filed : September 9, 1999  
Title : CATALYST COMPLEX WITH CARBENE LIGAND

Assistant Commissioner for Patents  
Washington, DC 20231

Attention: Box Missing Part

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Responsive to the Notice to File Missing Parts of  
Application under 37 CFR 1.53(b) mailed September 29, 1999. (a  
copy of which is enclosed), Applicant as a small entity submits  
herewith the following:

A Combined Declaration and Power of Attorney in  
compliance with 37 CFR 1.63.

Payment of the surcharge of \$65.00 for late  
filing of the declaration by an applicant  
entitled to a small entity status.

The Notice to File Missing Parts of Application  
indicated a surcharge of \$130.00 for a non-small entity.  
However, an executed Small Entity Statement was filed with the  
application. The Patent Office has recognized this status on the  
Official Filing Receipt.

It is understood that this perfects the application and  
no additional papers or filing fees are required. If there are

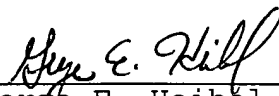
Date of Deposit October 7, 1999  
I hereby certify under 37 CFR 1.8(a) that this correspondence is being  
deposited with the United States Postal Service as first class mail  
with sufficient postage on the date indicated above and is addressed to  
the Assistant Commissioner for Patents, Washington, D.C. 20231.

Shahreen Mehjabeen  
SHAHREEN MEHJABEEN

any other charges, or any credits, please apply them to Deposit  
Account No. 06-1050.

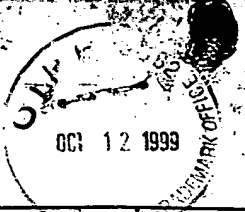
Respectfully submitted,

Date: October 7, 1999

  
\_\_\_\_\_  
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New York, NY 10111

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58234.N11



UNITED STATES DEPARTMENT OF COMMERCE  
 Patent and Trademark Office  
 Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
 Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/392,869	09/09/99	NOLAN	S 11112/002001

SCOTT C HARRIS  
 FISH & RICHARDSON  
 4725 EXECUTIVE SQUARE  
 SUITE 1400  
 LA JOLLA CA 92037

0242/0929

NOT ASSIGNED

*Handwritten: 13*

1713

DATE MAILED:

09/29/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☒ non-small entity is \$ 130.

- ☐ 1. The statutory basic filing fee is:  
☐ missing.  
☐ insufficient.

Applicant must submit \$ \_\_\_\_\_ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

- ☐ 2. Additional claim fees of \$ \_\_\_\_\_, including any multiple dependent claim fees, are required.

\$ \_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.

\$ \_\_\_\_\_ for \_\_\_\_\_ dependent claims over 20.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

- ☐ 3. The oath or declaration:

- ☐ is missing or unexecuted.  
☐ does not cover the newly submitted items.  
☐ does not identify the application to which it applies.  
☐ does not include the city and state or foreign country of applicant's residence.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

- ☒ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

Sinkun Huang

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).  
☐ 7. Your filing receipt was mailed in error because your check was returned without payment.  
☐ 8. The application does not comply with the Sequence Rules.  
 See attached "Notice to Comply with Sequence Rules 37 CFR 1.821-1.825."  
☐ 9. OTHER: \_\_\_\_\_

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

K. Anstett  
 Customer Service Center  
 Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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 16/17/1999 MARHOL  
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